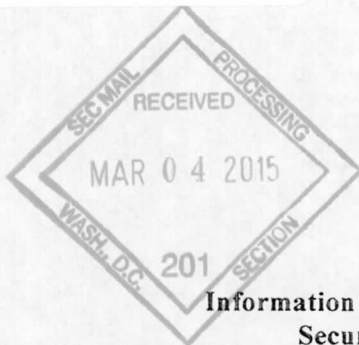




15049621



UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

**ANNUAL AUDITED REPORT  
FORM X-17A-5  
PART III**

OMB APPROVAL	
OMB Number:	3235-0123
Expires:	March 31, 2016
Estimated average burden hours per response.....	12.00

SEC FILE NUMBER
8- 66315

FACING PAGE

Information Required of Brokers and Dealers Pursuant to Section 17 of the  
Securities Exchange Act of 1934 and Rule 17a-5 Thereunder

REPORT FOR THE PERIOD BEGINNING 01/01/14 AND ENDING 12/31/14  
MM/DD/YY MM/DD/YY

**A. REGISTRANT IDENTIFICATION**

NAME OF BROKER-DEALER: HARBOR LIGHT SECURITIES LLC

ADDRESS OF PRINCIPAL PLACE OF BUSINESS: (Do not use P.O. Box No.)

5504 KEELER OAK STREET

(No. and Street)

LITHIA

(City)

FLORIDA

(State)

33547

(Zip Code)

NAME AND TELEPHONE NUMBER OF PERSON TO CONTACT IN REGARD TO THIS REPORT

JAMES LOCKHART(813) 345-2800

(Area Code - Telephone Number)

**B. ACCOUNTANT IDENTIFICATION**

INDEPENDENT PUBLIC ACCOUNTANT whose opinion is contained in this Report\*

ED RICHARDSON, CPA

(Name - if individual, state last, first, middle name)

15565 NORTHLAND DRIVE, STE 508 W, SOUTHFIELD,

(Address)

(City)

MI

(State)

48075

(Zip Code)

**CHECK ONE:**

- ☒ Certified Public Accountant  
☐ Public Accountant  
☐ Accountant not resident in United States or any of its possessions.

**FOR OFFICIAL USE ONLY**

\*Claims for exemption from the requirement that the annual report be covered by the opinion of an independent public accountant must be supported by a statement of facts and circumstances relied on as the basis for the exemption. See Section 240.17a-5(e)(2)

SEC 1410 (06-02)

Potential persons who are to respond to the collection of  
information contained in this form are not required to respond  
unless the form displays a currently valid OMB control number.

AB  
3/16KW  
3/16

## OATH OR AFFIRMATION

I, JAMES LOCKHART, swear (or affirm) that, to the best of my knowledge and belief the accompanying financial statement and supporting schedules pertaining to the firm of HARBOR LIGHT SECURITIES LLC, as of DECEMBER 31, 20 14, are true and correct. I further swear (or affirm) that neither the company nor any partner, proprietor, principal officer or director has any proprietary interest in any account classified solely as that of a customer, except as follows:

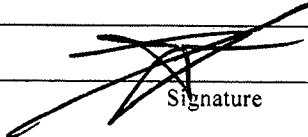
\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



**WILLIAM P. LOCKHART**  
**NOTARY PUBLIC**  
**STATE OF FLORIDA**  
**Comm# FF099255**  
**Expires 3/6/2018**

  
\_\_\_\_\_  
Signature  
\_\_\_\_\_  
CEO  
\_\_\_\_\_  
Title

\_\_\_\_\_  
Notary Public

This report \*\* contains (check all applicable boxes):

- ☒ (a) Facing Page.
- ☒ (b) Statement of Financial Condition.
- ☒ (c) Statement of Income (Loss).
- ☒ (d) Statement of Changes in Financial Condition.
- ☒ (e) Statement of Changes in Stockholders' Equity or Partners' or Sole Proprietors' Capital.
- ☐ (f) Statement of Changes in Liabilities Subordinated to Claims of Creditors.
- ☒ (g) Computation of Net Capital.
- ☒ (h) Computation for Determination of Reserve Requirements Pursuant to Rule 15c3-3.
- ☒ (i) Information Relating to the Possession or Control Requirements Under Rule 15c3-3.
- ☒ (j) A Reconciliation, including appropriate explanation of the Computation of Net Capital Under Rule 15c3-1 and the Computation for Determination of the Reserve Requirements Under Exhibit A of Rule 15c3-3.
- ☐ (k) A Reconciliation between the audited and unaudited Statements of Financial Condition with respect to methods of consolidation.
- ☒ (l) An Oath or Affirmation.
- ☒ (m) A copy of the SIPC Supplemental Report.
- ☐ (n) A report describing any material inadequacies found to exist or found to have existed since the date of the previous audit.

**\*\*For conditions of confidential treatment of certain portions of this filing, see section 240.17a-5(e)(3).**

**HARBOR LIGHT SECURITIES, LLC  
FINANCIAL STATEMENTS AND SUPPLEMENTAL SCHEDULES  
REQUIRED BY THE SECURITIES AND EXCHANGE COMMISSION**

**For the Year Ended  
December 31, 2014  
With Independent Auditor's Report  
and  
Supplemental Report on Internal Control**

Edward Richardson Jr., CPA  
15565 Northland Dr W Ste 508  
Southfield, MI 48075  
248-559-4514

## Independent Auditor's Report

Board of Directors  
Harbor Light Securities, LLC  
501 W. Butler Road  
Greenville, SC 29607

### Report on the Financial Statements

I have audited the accompanying statement of financial condition of Harbor Light Securities, LLC as of December 31, 2014 and the related statements of income, changes in stockholder's equity, changes in liabilities to claims of general creditors, and cash flows for the year ended. These financial statements are the responsibility of Harbor Light Securities, LLC management. My responsibility is to express an opinion on these financial statements based on my audit.

### Auditor's Responsibility

I conducted this audit in accordance with the standards of the Public Company Accounting Oversight Board (United States). Those standards require that I plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. I believe that my audit provide a reasonable basis for my opinion.

### Opinion

In my opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Harbor Light Securities, LLC as of December 31, 2014, and results of its operations and its cash flows to the year then ended in conformity with accounting principles generally accepted in the United States.

### Other Matters

The Net Capital Computation has been subjected to audit procedures performed with audit of Harbor Light Securities, LLC financial statements. The Net Capital Computation is the responsibility of Harbor Light Securities, LLC's management. My audit procedures included determining whether the Net Capital Computation reconciles to the financial statements or the underlying accounting and other records as applicable, and performing procedures to test the completeness and accuracy of the information presented in the Net Capital Computation. In forming my opinion on the Net Capital Computation, I evaluated whether the Net Capital Computation, including its form and content is presented in conformity 17 C.F.R. § 240 17a-5. In my opinion, the Net Capital Computation is fairly stated, in all

stated, in all material respects, in relation to the financial statements as a whole.

*Edward Richardson Jr. CPA*

Edward Richardson Jr., CPA  
Southfield, MI. 48075  
February 16, 2015

**HARBOR LIGHT SECURITIES, LLC**  
**STATEMENT OF FINANCIAL CONDITION**  
**December 31, 2014**

ASSETS

Cash and cash equivalents	\$ 71,180
Accounts receivable	80,592
Property and equipment, at cost, less accumulated depreciation of \$3,101	25,999
Prepaid expenses	55,114
Total assets	<u>\$ 232,885</u>

LIABILITIES AND MEMBERS' EQUITY

Liabilities	
Accounts payable	\$ 58,513
Accrued payroll and taxes	<u>2,999</u>
Total liabilities	61,512
Members' equity	<u>171,373</u>
Total liabilities and members' equity	<u>\$ 232,885</u>

**HARBOR LIGHT SECURITIES**  
**STATEMENT OF OPERATIONS**  
**For the Year Ended December 31, 2014**

**REVENUES**

Commissions earned	\$ 3,946,808
Mutual funds	8,672
Insurance income	26,075
Other income	<u>93,362</u>

Total revenue	<u>4,074,917</u>
---------------	------------------

**EXPENSES**

Compensation and benefits	3,245,795
Regulatory fees	38,408
Occupancy	14,406
Communications and data process	9,840
Other operating expenses	<u>430,845</u>

Total expenses	<u>3,739,295</u>
----------------	------------------

<b>NET INCOME</b>	<u><u>\$ 335,623</u></u>
-------------------	--------------------------

**HARBOR LIGHT SECURITIES, LLC**  
**STATEMENT OF CASH FLOWS**  
**For the Year Ended December 31, 2014**

**CASH FLOWS FROM OPERATING ACTIVITIES:**

Net income	\$ 335,623
Adjustments to reconcile net loss to net cash used by operating activities:	
Depreciation and amortization	2,188
Fixed assets	(23,280)
Increase in accounts receivable	(57,746)
Increase in prepaid expenses and deposits	(22,335)
Increase in accounts payable and accrued liabilities	37,471
Increase in accrued payroll	2,999
Net cash provided by operating activities	<u>(60,702)</u>

**CASH FLOWS FROM FINANCING ACTIVITIES:**

Member Distributions	<u>(215,000)</u>
Net cash used by financing activities	<u>(215,000)</u>

NET INCREASE IN CASH	59,920
----------------------	--------

**CASH AND CASH EQUIVALENTS:**

Beginning of period	<u>11,260</u>
End of period	<u><u>\$ 71,181</u></u>



**HARBOR LIGHT SECURITIES, LLC**  
**STATEMENT OF MEMBERS' EQUITY**  
**For the Year Ended December 31, 2014**

	<u>Total</u>
Balance, December 31, 2013	\$ 50,751
Distribution of Profits	(215,000)
Net Income	<u>335,623</u>
Total	<u><u>\$ 171,373</u></u>

**HARBOR LIGHT SECURITIES, LLC**  
**NOTES TO FINANCIAL STATEMENTS**  
**December 31, 2014**

**NOTE 1 - NATURE OF BUSINESS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

**Nature of Business:** Harbor Light Securities, LLC was organized as a South Carolina Limited Liability Company on February 23, 1995. The Company became an independent registered broker-dealer and a member of the Financial Industry Regulatory Authority. In June 2010, the Company changed its name from Secure Trend Financial, LLC to Harbor Light Securities, LLC. The Company operates under SEC Rule 15c3-3 (k)(2)(i), which provides an exemption for "Special Account for the benefit of Customer."

**Basis of Accounting:** The financial statements of the Company have been prepared on the accrual basis of accounting and accordingly reflect all significant receivables, payables, and other liabilities.

**Cash and Cash Equivalents:** The Company considers as cash all short-term investments with an original maturity of three months or less to be cash equivalents.

**Accounts Receivable - Recognition of Bad Debt:** The Company considers accounts receivable to be fully collectible; accordingly, no allowance for doubtful accounts is required. If amounts become uncollectible, they will be charged to operations when that determination is made.

**Revenue Recognition:** Commission revenues are recorded by the Company when the services are rendered.

**Estimates:** The preparation of financial statements in accordance with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements and the reported amounts of revenues and expense during the reporting period. Actual results may differ from these estimates.

**HARBOR LIGHT SECURITIES, LLC**  
**NOTES TO FINANCIAL STATEMENTS**  
**December 31, 2013**

**NOTE 1 - NATURE OF BUSINESS AND SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (CONTINUED)**

**Fair Value of Financial Instruments:** Financial instruments that are subject to fair value disclosure requirements are carried in the financial statements at amount that approximate fair value and include cash and cash equivalents. Fair values are based on quoted market prices and assumptions concerning the amount and timing of estimated future cash flows and assumed discount rates reflecting varying degrees of perceived risk.

**Comprehensive Income:** Statement of Financial Accounting Standards (SFAS) No. 130, Reporting Comprehensive Income, establishes requirements for disclosure of Comprehensive Income that includes certain items previously not included in the statement of income, including unrealized gains and losses on available for sales securities and foreign currency translation adjustment among others. During the year ended December 31, 2014, the Company did not have any components of Comprehensive Income to report.

**Concentrations:** The Company concentration is services, which is the sale of securities.

**NOTE 2 - NET CAPITAL REQUIREMENTS**

The Company is subject to the Securities and Exchange Commission Uniform Net Capital Rule (Rule 15c3-1), which requires the maintenance of minimum net capital and requires that the ratio of aggregate indebtedness to net capital, both as defined, shall not exceed 15 to 1. At December 31, 2014, the Company had net capital of \$61,135, which was \$56,135 more than its required net capital of \$5,000 and the ration of aggregate indebtedness to net capital was 1.0 to 1.0.

**NOTE 3 - POSSESSION OR CONTROL REQUIREMENTS**

The Company does not have any possession or control of customer's funds or securities. There were no material inadequacies in the procedures followed in adhering to the exemptive provisions of SEC Rule 15c3-3(k)(2)(i) for "Special Account for the benefit of Customers."

**NOTE 4 - ACCOUNTS RECEIVABLE**

The amount, \$80,592 was due from various customers.

**NOTE 5 - CURRENT LIABILITIES**

The amount, \$58,513, is comprised of acccounts payable, \$58,513.

**HARBOR LIGHT SECURITIES, LLC**  
**NOTES TO FINANCIAL STATEMENTS**  
**December 31, 2014**

**NOTE 6 - ADVERTISING**

The amount of advertising recorded in 2014 was \$2,629; the amount was expensed as incurred.

**NOTE 7 - Rent**

The amount of rent for December 31, 2014 was \$14,406.

**NOTE 8 - SUBSEQUENT EVENTS**

The Company has evaluated events subsequent to the balance sheet date for items requiring recording or disclosure in the financial statements. The evaluation was performed through February 11, 2015, which is the date the financial statements were available to be issued. Based upon this review, the Company has determined that there were no events which took place that would have a material impact on its financial statements.

**HARBOR LIGHT SECURITIES**

**Supplementary Information  
Pursuant to rule 17(a)-5 of the  
Securities Exchange Act of 1934**

**December 31, 2014**

The accompanying schedule is prepared in accordance with the requirements and general format of FOCUS Form X-17 A-5.

**Supplementary**  
**Pursuant to rule 17a-5 of the**  
**Securities and Exchange Act of 1934**  
**As of and for the Year Ended December 31, 2014**

See accountant's audit report

**Harbor Light Securities, LLC**  
**Supplemental Schedules Required by Rule 17a-5**  
**As of and for the year ended December 31, 2014**

**Computation of Net Capital**

Total Stockholder's equity:		\$ 171,373.00
Nonallowable assets:		
Prepaid Expenses	25,999.00	
Fixed Assets	55,114.00	
Accounts receivable – other	<u>29,126.00</u>	(110,239.00)
Other Charges		
Haircuts	0.00	
Undue Concentration	<u>0.00</u>	<u>(0.00)</u>
Net allowable capital		\$ 61,134.00

**Computation of Basic Net Capital Requirement**

Minimum net capital required as a percentage of aggregate indebtedness	\$ <u>4,101.00</u>
Minimum dollar net capital requirement of reporting broker or dealer	\$ <u>5,000.00</u>
Net capital requirement	\$ <u>5,000.00</u>
Excess net capital	\$ <u>56,134.00</u>

**Computation of Aggregate Indebtedness**

Total Aggregate Indebtedness	\$ <u>61,512.00</u>
Percentage of aggregate indebtedness to net capital	<u>100.62%</u>

**Reconciliation of the Computation of Net Capital Under Rule 15c3-1**

Computation of Net Capital reported on FOCUS IIA as of December 31, 2014	\$ 61,134.00
Adjustments:	
Change in Equity (Adjustments)	0.00
Change in Non-Allowable Assets	0.00
Change in Haircuts	(0.00)
Change in Undue Concentration	<u>0.00</u>
NCC per Audit	<u>61,134.00</u>
Reconciled Difference	\$ <u>(0.00)</u>

See accountant's audit report

**Harbor Light Securities, LLC**  
**Supplemental Schedules Required by Rule 17a-5**  
**As of and for the year ended December 31, 2014**

**Exemptive Provisions Rule 15c3-3**

The Company is exempt from Rule 15c3-3 pursuant to (k)(2)(i).

**Statement of Changes in Liabilities Subordinated to the Claims of General Creditors**

Balance of such claims at January 1, 2014	\$ -
Additions	-
Reductions	-
Balance of such claims at December 31, 2014	<u>\$ -</u>

See accountant's audit report



**HARBOR LIGHT SECURITIES, LLC**

**SCHEDULE II**

**COMPUTATION FOR DETERMINATION OF THE RESERVE REQUIREMENTS  
UNDER THE SECURITIES AND EXCHANGE COMMISSION RULE 15c3-3  
AND INFORMATION RELATING TO THE POSSESSION OR CONTROL REQUIREMENTS  
UNDER THE SECURITIES AND EXCHANGE COMMISSION RULE 15c3-3  
December 31, 2014**

The Company is not required to file the above schedules as it is exempt from Securities and Exchange Commission Rule 15c3-3 under paragraph (k)(2)(i) of the rule and does not hold customers' monies or securities.

**REPORT ON BROKER DEALER EXEMPTION**

**For the year ended December 31, 2014**

See accountant's audit report

Edward Richardson, Jr., CPA  
15565 Northland Suite 508 West  
Southfield, MI. 48075


February 15, 2015

Board of Directors  
Harbor Light Securities, LLC  
501 West Butler Road  
Suite H  
Greenville, SC 29607

I have reviewed management's statements, included in the accompanying Representation Letter of Exemptions, in which (1) Harbor Light Securities, LLC, identified the following provisions of 17 C.F.R. § 15c3-3(k) under which Harbor Light Securities, LLC, claimed an exemption from 17 C.F.R. § 15c3-3(k)(1), and (2) Harbor Light Securities, LLC, stated that Harbor Light Securities, LLC, met the identified exemption provisions throughout the most recent fiscal year without exception Harbor Light Securities, LLC's management is responsible for compliance with the exemption provisions and its statements.

My review was conducted in accordance with the standards of the Public Company Accounting Oversight Board (United States) and, accordingly, included inquiries and other required procedures to obtain evidence about Harbor Light Securities, LLC's compliance with the exemption provisions. A review is substantially less in scope than an examination, the objective of which is the expression of an opinion on management's statements. Accordingly, I do not express such an opinion.

Based on my review, I'm not aware of any material modifications that should be made to management's statements referred to above for them to be fairly stated, in all material respects, based on the provisions set forth in paragraph (k)(1) of Rule 15c3-3 under the Securities Exchange Act of 1934.



Edward Richardson, Jr., CPA



Edward Richardson, Jr. CPA  
15565 Northland Drive  
Suite 508 West  
Southfield, MI 48075

RE: Exemption Statement Rule 15c3-3 (k) (2) (ii) for FYE December 31, 2014

Dear Edward,

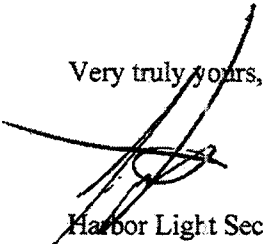
Please be advised that Harbor Light Securities, LLC has complied with Exemption Rule 15c3-3 (k) (2) (i), for the period of January 1, 2014 through December 31, 2014. Harbor Light Securities, LLC did not hold customer securities or funds at any time during this period and does business on a limited basis (publicly registered non-trades REITS, and oil & gas partnerships). Harbor Light Securities, LLC's past business has been of similar nature and has complied to this exemption since its inception

James Lockhart, the president of Harbor Light Securities, LLC has made available to Edward Richardson all records and information including all communications from regulatory agencies received through the date of this review December 31, 2014.

James Lockhart has been responsible for compliance with the exemption provision throughout the fiscal year. Also, there were not any know events or other factors that might have affected Harbor Light Securities, LLC's compliance with the exemption.

If you would like additional information or have any questions, feel free to call me directly at 813-345-2800.

Very truly yours,



Harbor Light Securities, LLC  
James Lockhart CCO

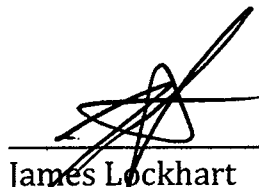
Mailing: 5504 Keeler Oak Street Lithia FL 33547  
Physical: 9325 Bay Plaza Blvd Suite 205 Tampa FL 33619  
813-345-2800(P) 813-3641898 (F)  
Securities offered through Harbor Light Securities, LLC Member FINRA SIPC MSRB



## **BROKER DEALERS ANNUAL EXEMPTION REPORT**

Harbor Light Securities, LLC claims an exemption from the provisions of Rule 15c3-3 under the Securities and Exchange Act of 1934, pursuant to paragraph (k)(2)(i) of the Rule.

Harbor Light Securities, LLC met the aforementioned exemption provisions throughout the most recent year ended December 31, 2014 without exception.

  
\_\_\_\_\_  
James Lockhart  
February 25, 2015

**REPORT ON SIPC ASSESSMENT RECONCILIATION**

**For the year ended December 31, 2014**

Edward Richardson Jr., CPA  
15565 Northland Drive  
Suite 508 West  
Southfield, MI 48075

Board of Directors  
Harbor Light Securities, LLC  
501 W. Butler Road  
Greenville, SC 29607

In accordance with Rule 17a-5©(4) under the Securities Exchange Act of 1934, we have performed the procedures enumerated below with respect to the accompanying Schedule of Assessment and Payments [Transitional Assessment Reconciliation (Form SIPC-7) to the Securities Investor Protection Corporation (SIPC) for the period January 1, 2014 to December 31, 2014, which were agreed to by Harbor Light Securities, LLC and the Securities and Exchange Commission, Financial Industry Regulatory Authority, Inc. and the SIPC, solely to assist you and other specified parties in evaluating Harbor Light Securities, LLC's compliance with the applicable instructions of the Transitional Assessment Reconciliation (Form SIPC-7). Harbor Light Securities, LLC's management is responsible for Harbor Light Securities, LLC's compliance with those requirements. This agreed-upon procedures engagement was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. The sufficiency of these procedures is solely the responsibility of those parties specified in this report. Consequently, we make no representation regarding the sufficiency of the procedures described below either for the purpose for which this report has been requested or for any other purpose. The procedures were performed and our findings are as follows:

1. Compared the listed assessment payments represented on Form SIPC-7 with the respective cash disbursements record entries.
2. Compared audited Total Revenue for the period of January 1, 2013 through the December 31, 2014 (fiscal year-end) with the amounts reported on Form SIPC-7 for the same period noting no reportable reconciliation differences.
3. Compared any adjustments reported Form SIPC-7 with supporting schedules and work papers, to the extent such exists, noting no differences.
4. Proved the arithmetical accuracy of the calculations reflected on Form SIPC-7 noting no differences.
5. If applicable, compared the amount of any overpayment applied to the current assessment with the Form SIPC-7 on which it was originally computed. According to our findings, Harbor Light Securities, LLC had no reportable differences.

I was not engaged to, and did not conduct an examination, the objective of which would be the expression of an opinion on compliance. Accordingly, I do not express such an opinion. Had I performed additional procedures, other matters might have come to my attention that would have been reported to you.

This report is intended solely for the information and use of the specified parties listed above and is not intended to be and should not be used by anyone other than these specified parties.

*Edward H. Harrison Jr. CPA*  
February 16, 2015



**SIPC-7**

(33-REV 7/10)

**SECURITIES INVESTOR PROTECTION CORPORATION**  
P.O. Box 92185 Washington, D.C. 20090-2185  
202-371-8300  
**General Assessment Reconciliation**

**SIPC-7**

(33-REV 7/10)

For the fiscal year ended December 31, 2014  
(Read carefully the instructions in your Working Copy before completing this Form)

**TO BE FILED BY ALL SIPC MEMBERS WITH FISCAL YEAR ENDINGS**

1. Name of Member, address, Designated Examining Authority, 1934 Act registration no. and month in which fiscal year ends for purposes of the audit requirement of SEC Rule 17a-5:

066315 FINRA DEC  
HARBOR LIGHT SECURITIES LLC  
5504 KEELER OAK STREET  
LITHIA, FL 33547

Note: If any of the information shown on the mailing label requires correction, please e-mail any corrections to form@sipc.org and so indicate on the form filed.

Name and telephone number of person to contact respecting this form.

JAMES LOCKHART (813) 345-2800

2. A. General Assessment (item 2e from page 2) \$ 10,063.66
- B. Less payment made with SIPC-6 filed (exclude interest) ( 3,985.27 )  
08/12/2014  
Date Paid
- C. Less prior overpayment applied ( 0 )
- D. Assessment balance due or (overpayment) 6,078.39
- E. Interest computed on late payment (see instruction E) for \_\_\_\_\_ days at 20% per annum 0
- F. Total assessment balance and interest due (or overpayment carried forward) \$ 6,078.39
- G. PAID WITH THIS FORM:  
Check enclosed, payable to SIPC  
Total (must be same as F above) \$ \_\_\_\_\_
- H. Overpayment carried forward \$( 0 )

3. Subsidiaries (S) and predecessors (P) included in this form (give name and 1934 Act registration number):

The SIPC member submitting this form and the person by whom it is executed represent thereby that all information contained herein is true, correct and complete.

HARBOR LIGHT SECURITIES LLC

(Name of Corporation, Partnership or other organization)

(Authorized Signature)

Dated the 25 day of Feb, 20 15.

CEO 2-25-15  
(Title)

This form and the assessment payment is due 60 days after the end of the fiscal year. Retain the Working Copy of this form for a period of not less than 6 years, the latest 2 years in an easily accessible place.

**SIPC REVIEWER**

Dates: \_\_\_\_\_  
Postmarked \_\_\_\_\_ Received \_\_\_\_\_ Reviewed \_\_\_\_\_

Calculations \_\_\_\_\_ Documentation \_\_\_\_\_

Forward Copy \_\_\_\_\_

Exceptions:

Disposition of exceptions:

**WORKING COPY**

# **DETERMINATION OF "SIPC NET OPERATING REVENUES" AND GENERAL ASSESSMENT**

Amounts for the fiscal period  
beginning January 1, 20 14  
and ending December 31, 20 14  
Eliminate cents

Item No.

2a. Total revenue (FOCUS Line 12/Part IIA Line 9, Code 4030)

\$4,074,917

2b. Additions:

(1) Total revenues from the securities business of subsidiaries (except foreign subsidiaries) and predecessors not included above.

(2) Net loss from principal transactions in securities in trading accounts.

(3) Net loss from principal transactions in commodities in trading accounts.

(4) Interest and dividend expense deducted in determining item 2a.

(5) Net loss from management of or participation in the underwriting or distribution of securities.

(6) Expenses other than advertising, printing, registration fees and legal fees deducted in determining net profit from management of or participation in underwriting or distribution of securities.

(7) Net loss from securities in investment accounts.

Total additions

2c. Deductions:

(1) Revenues from the distribution of shares of a registered open end investment company or unit investment trust, from the sale of variable annuities, from the business of insurance, from investment advisory services rendered to registered investment companies or insurance company separate accounts, and from transactions in security futures products.

34,747

(2) Revenues from commodity transactions.

(3) Commissions, floor brokerage and clearance paid to other SIPC members in connection with securities transactions.

(4) Reimbursements for postage in connection with proxy solicitation.

(5) Net gain from securities in investment accounts.

(6) 100% of commissions and markups earned from transactions in (i) certificates of deposit and (ii) Treasury bills, bankers acceptances or commercial paper that mature nine months or less from issuance date.

(7) Direct expenses of printing advertising and legal fees incurred in connection with other revenue related to the securities business (revenue defined by Section 16(9)(L) of the Act).

(8) Other revenue not related either directly or indirectly to the securities business.  
(See Instruction C):

**REP FEES**

14,707

(9) (i) Total interest and dividend expense (FOCUS Line 22/PART IIA Line 13, Code 4075 plus line 2b(4) above) but not in excess of total interest and dividend income.

\$ \_\_\_\_\_

(ii) 40% of margin interest earned on customers securities accounts (40% of FOCUS line 5, Code 3960).

\$ \_\_\_\_\_

Enter the greater of line (i) or (ii)

Total deductions

49,454

2d. SIPC Net Operating Revenues

\$ 4,025,463

2e. General Assessment @ .0025

\$ 10,063.66

(to page 1, line 2.A.)